

11-17-04

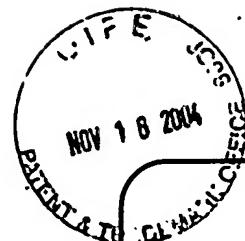
IFB

PTO/SB/21 (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	10/632,735
		Filing Date	August 1, 2003
		First Named Inventor	Loren M. Caldwell
		Art Unit	2828
		Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	34	Attorney Docket Number	410391

### ENCLOSURES (check all that apply)

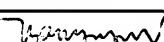
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) <small>(please identify below):</small> <b>PTO Form 1449, Copy of one reference, Certificate of Mailing &amp; Return Post Card</b>
Remarks		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Curtis A. Vock LATHROP & GAGE LC	
Signature		
Date	November 16, 2004	

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being transmitted to the USPTO by depositing with the United States Postal Service with sufficient postage as express mail (Label No.: EV386826638US) in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	MiMi Nguyen		
Signature		Date	November 16, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): Loren M. Caldwell, et al.			Matter No. 410391
Serial No. 10/632,735	Filing Date August 1, 2003	Examiner Not Yet Assigned	Group Art Unit 2828
Invention <b>OPTICAL AIR DATA SYSTEMS AND METHODS</b>			
<p>I hereby certify that this Transmittal Letter (1 page); Information Disclosure Statement (1 page); PTO-Form 1449 (1 page); Copy of One Reference (17 pages); Fee Transmittal For FY 2005 (1 page in duplicate); authorization to charge \$180 for the late filing of information disclosure statement; authorization to charge additional fees that may be required, or credit any overpayment, to Deposit Account No. 12-0600; and return post card are being mailed in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 16th day of November, 2004.</p>			
<p>MiMi Nguyen _____ Name of Depositor</p>			
<p> _____ Signature of Depositor</p>			
<p>EV386826638US _____ Express Mail Label No.</p>			



PATENT  
Attorney Docket No.: 410391  
Express Mail Label No.: EV386826638US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) Loren M. Caldwell  
Serial No. 10/632,735  
Filed August, 2003  
For OPTICAL AIR DATA SYSTEMS  
AND METHODS

Examiner Not Yet Assigned  
Group Art No. 2828  
Confirmation No. 3863

November 16, 2004

Mail Stop DD  
Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

- under 37 CFR 1.97(b), or  
(Within three months of filing national application, or date of entry of national application, or before mailing date of first office action on the merits, whichever occurs last)
- under 37 CFR 1.97(c) together with either a:
  - Statement under 37 CFR 1.97(e), or
  - a \$180 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before final action or notice of allowance, which ever occurs first)
- under 37 CFR 1.97(d) together with a:
  - Statement under 37 CFR 1.97(e)(1) or (2), and
  - a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action, a notice of allowance, on or before payment of issue fee)

Please charge to Deposit Account 12-0600 the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 12-0600 pursuant to 37 CFR 1.25.

Applicant(s) submit herewith Form PTO 1449 – Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of the application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

This Application was filed after June 30, 2003. Therefore, Applicant(s) submit(s) herewith Form PTO 1449 – Information Disclosure Citation without copies of U.S. patents or U.S. publications, but includes copies of foreign patents, publications or other information of which Applicant(s) is/are aware, which applicant(s) believe(s) may be material to the

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01 FC:1806 180.00 DA

PATENT  
Attorney Docket No.: 410391  
Express Mail Label No.: EV386826638US

examination of the application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

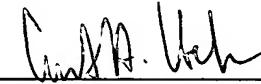
A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counter part foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith

It is requested that the information disclosed herein be made of record in this application

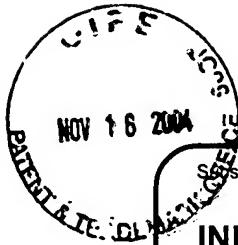
Respectfully submitted,

LATHROP & GAGE LLC

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Boulder, Colorado 80301  
Tel No: (720) 931-3011  
Fax No: (720) 931-3001



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Substitute for form 1449A/PTO

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

**(Use as many sheets as necessary)**

### Sheets

1 of 1

<b>Complete if Known</b>	
<i>Application Number</i>	10/632,735
<i>Filing Date</i>	August 1, 2003
<i>First Named Inventor</i>	Loren M. Caldwell
<i>Art Unit</i>	2828
<i>Examiner Name</i>	Not Yet Assigned
<i>Attorney Docket Number</i>	410391

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# FEE TRANSMITTAL for FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$ 180)

Complete If Known	
Application Number	10/632,735
Filing Date	August 1, 2003
First Named Inventor	Loren M. Caldwell
Examiner Name	Brian K. Andrea
Art Unit	3662
Attorney Docket No.	410391

## METHOD OF PAYMENT (check all that apply)

Check  Credit card  Money  Other  None  
Order

Deposit Account:

Deposit Account Number	12-0600
Deposit Account Name	LATHROP & GAGE LC

## The Director is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code	Fee (\$)	Fee (\$)
1001	2001	790	395
1002	2002	350	175
1003	2003	550	275
1004	2004	790	395
1005	2005	160	80
SUBTOTAL (1)		(\$ 0)	

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			-20 **	= 0	X = 0
			-3 **	= 0	X = 0
				X = 0	

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code	Fee (\$)	Fee (\$)
1202	2202	18	9
1201	2201	88	44
1203	2203	300	150
1204	2204	88	44
1205	2205	18	9
SUBTOTAL (2)		(\$ 0)	

\*\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code	Fee (\$)	Fee (\$)
1051	2051	130	65
1052	2052	50	25
1053	1053	130	130
1812	1812	2,520	2,520
1804	1804	920*	920*
1805	1805	1,840*	1,840*
1251	2251	110	55
1252	2252	430	215
1253	2253	980	490
1254	2254	1,530	765
1255	2255	2,080	1,040
1401	2401	340	170
1402	2402	340	170
1403	2403	300	150
1451	1451	1,510	1,510
1452	2452	110	55
1453	2453	1,370	685
1501	2501	1,370	685
1502	2502	490	245
1503	2503	660	330
1460	1460	130	130
1807	1807	50	50
1806	1806	180	180
8021	8021	40	40
1809	2809	790	395
1810	2810	790	395
1801	2801	790	395
1802	1802	900	900
Other fee (specify) _____		SUBTOTAL (3) (\$ 180)	

\*Reduced by Basic Filing Fee Paid

SUBMITTED BY						Complete (if applicable)
Name (Print/Type)	Curtis A. Vock	Registration No. (Attorney/Agent)	37,659	Telephone	(720) 931-3011	
Signature	C. A. Vock			Date	November 16, 2004	

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